

Stage 1 Resident Interview Questions from ASE-Q	Additional CMS Central Office Guidance for Surveyors
<p>Ask screening questions similar to the following:</p> <ol style="list-style-type: none"> 1. Are you from around here, the area, etc.? 2. Tell me a little about yourself. 3. How long have you been here? 4. What is the food like here? <p>Proceed with the interview questions below if you are comfortable that the resident is interviewable.</p>	<p><i>There is no need to ask these particular questions as written. These are suggested screening questions to:</i></p> <ul style="list-style-type: none"> • <i>Determine the resident's cognitive ability to participate in the interview process, and</i> • <i>Initiate conversation and begin to build rapport with the resident.</i>
A. Cognitive Status	
<p>1) Is the resident able to be interviewed?</p> <p><input type="checkbox"/> Not Interviewable</p> <p><input type="checkbox"/> Interviewable</p> <p><input type="checkbox"/> Resident refused interview</p> <p><input type="checkbox"/> Resident is unavailable for an interview</p> <p>If the resident is interviewable, proceed to the Resident Interview section on the following page. If the resident is not interviewable, refuses, or is unavailable (after repeated attempts to interview) proceed to the Resident Observation section on the following page (the resident is excluded from the resident interview).</p>	<p><i>If the resident refuses to participate in the interview do not attempt to interview a second time. Surveyors should be cognizant of the fact that they are visitors in the resident's home.</i></p> <p><i>When first meeting the resident, if the surveyor is able to interview the resident at that time, he or she should proceed. If the resident is not available, the surveyor should ask the resident when a good time to conduct the interview would be. If the resident is otherwise occupied or has other obligations, a specific future appointment with the resident should be made if possible [keeping in mind the date/time that the Team Coordinator (TC) has scheduled for transition into Stage 2].</i></p>

B. Choices	QP234
<p>1) Do you choose when to get up in the morning? If No: What time do you get up? What time would you like to get up in the morning?</p> <p><input type="checkbox"/> No <input type="checkbox"/> Yes <input type="checkbox"/> N/A, the resident is independent with ADLs*</p> <p>2) Do you choose when to go to bed at night? If No: What time do you go to bed? What time would you like to go to bed?</p> <p><input type="checkbox"/> No <input type="checkbox"/> Yes <input type="checkbox"/> N/A, the resident is independent with ADLs</p> <p>3) Do you choose how many times a week you take a bath or shower? If No: How many times a week do you get a bath or shower? How many times a week would you like to bathe?</p> <p><input type="checkbox"/> No <input type="checkbox"/> Yes <input type="checkbox"/> N/A, the resident is independent with ADLs</p> <p>4) Do you choose whether you take a shower, tub, or bed bath? If No: what type of bathing are you receiving? What would you like to receive?</p> <p><input type="checkbox"/> No <input type="checkbox"/> Yes <input type="checkbox"/> N/A, the resident is independent with ADLs</p> <p>5) Can you have visitors anytime during the day or night? If No: what are the visiting restrictions?</p> <p><input type="checkbox"/> No <input type="checkbox"/> Yes</p>	<p><i>The second part of each of the questions in Section B: Choices is intended to probe for additional information when a resident responds negatively to the initial portion of the question. The surveyor may find there are additional probing questions that need to be asked to obtain appropriate information to start an investigation in Stage 2, should one be required</i></p>

C. Dignity	QP212
<p>1) Do staff treat you with respect and dignity? If No, tell me some examples about when staff did not treat you with respect and dignity. The focus of this question is how well staff interacts with the resident.</p> <p><input type="checkbox"/> No</p> <p><input type="checkbox"/> Yes</p>	<p><i>The second part of the question in Section C: Dignity is to probe for additional information if a resident responds negatively. The surveyor may find there are additional probing questions that are needed to obtain adequate information to start an investigation in Stage 2, should one be required.</i></p>
D. Activities	QP208
<p>1) Do you participate in the activity programs here? If No, ask why he/she doesn't participate.</p> <p><input type="checkbox"/> No</p> <p><input type="checkbox"/> Yes</p> <p><input type="checkbox"/> N/A Does not wish to participate (Skip to 4)</p> <p>2) Do the activities meet your interests?</p> <p><input type="checkbox"/> No</p> <p><input type="checkbox"/> Yes</p> <p>3) Are the activities provided as often as you would like, including on weekends and evenings?</p> <p><input type="checkbox"/> No</p> <p><input type="checkbox"/> Yes</p> <p>4) Does staff provide items so you can do activities on your own, like books or cards?</p> <p><input type="checkbox"/> No</p> <p><input type="checkbox"/> Yes</p> <p><input type="checkbox"/> N/A, family provides</p>	<p><i>If the resident responds "No" to the first question in Section D: Activities, the surveyor then asks why the resident doesn't participate. The intent of asking this is to determine if the resident does not wish to participate (in which case "N/A" is marked and the surveyor skips to question 4) or if the resident doesn't participate for another reason (in which case the surveyor proceeds through the remaining questions). Examples of other reasons that a resident doesn't participate include (but are not limited to) the activities not meeting the resident's interest, programming is offered at days or times that don't meet the resident's needs or preferences, or staff does not provide assistance to attend activities.</i></p> <p><i>Examples of resident who may respond "No" which would result in the surveyor marking "N/A" include a short-stay resident who has no interest in the activities or a LTC resident who also doesn't have any interest in the activities. If the resident does not wish to participate in the activities program, the surveyor does NOT ask questions 2 and 3.</i></p> <p><i>Remember, when the surveyor receives a negative response the surveyor should probe for additional information that will be helpful if a Stage 2 investigation is needed. The surveyor should obtain enough pertinent information to begin an investigation in Stage 2, should one be required.</i></p>

E. Building and Environment	QP201
<p>1) Is the building clean?</p> <p><input type="checkbox"/> No</p> <p><input type="checkbox"/> Yes</p> <p>2) Do you have any problems with the temperature, lighting, noise or anything else in the building that affects your comfort?</p> <p><input type="checkbox"/> Temperature QP272</p> <p><input type="checkbox"/> Lighting QP273</p> <p><input type="checkbox"/> Noise QP274</p> <p><input type="checkbox"/> Other identified issues QP275*</p> <p><input type="checkbox"/> None of the above</p>	<p><i>The intent of question 2 is to determine if the resident has any concerns regarding their living environment. The surveyor should probe and document the resident's specific concerns in Relevant Findings.</i></p> <p><i>*An example of "other identified issues" would be if the resident stated during the interview they could not get to the bathroom due to the roommate's cluttered side of the room.</i></p>
F. Participation in Care Plan	QP210
<p>1) Have you been involved in decisions about your daily care?</p> <p><input type="checkbox"/> No</p> <p><input type="checkbox"/> Yes</p>	<p><i>The surveyor should provide guidance for the resident, as needed, in order to confirm that the resident is afforded the opportunity to choose between alternative treatments, both initially and with changes to the plan of care. The surveyor may find the following probing questions helpful in assisting the resident to understand the intent of the question in Section F: Participation in Care Plan:</i></p> <ul style="list-style-type: none"> <i>• If the physician orders a change in your medications, are you made aware of the change?</i> <i>• If the physician is contacted about you, are you made aware of the results of the contact and given treatment options?</i> <i>• Does staff tell you the results of tests like lab work or x-rays?</i> <i>• If you need to have an appointment scheduled (for instance with an outside physician), are you informed of the appointment and why it is being recommended?</i> <i>• Have you brought questions or concerns about your care to the attention of facility's staff? If so, what happened as a result?</i>

G. Abuse	QP253
<p>1) Has staff, a resident or anyone else here abused you - this includes verbal, physical or sexual abuse? <input type="checkbox"/> No (skip to 3) <input type="checkbox"/> Yes If “Yes”, ask who the abuser was, what happened, when it occurred, where it happened and how often.</p> <p>2) Did you tell staff? <input type="checkbox"/> No <input type="checkbox"/> Yes If “Yes”, ask who the resident told. If “No”, report immediately to the administrator. If you have concerns with how the facility handles the investigation after you report it, consider initiating abuse.</p> <p>3) Have you seen any resident here being abused? <input type="checkbox"/> No (skip to H) <input type="checkbox"/> Yes If “Yes”, ask who the abuser was, what happened, when it occurred, where it happened, and how often.</p> <p>4) Did you tell staff? <input type="checkbox"/> No <input type="checkbox"/> Yes If “Yes”, ask who the resident told. If “No”, report immediately to the administrator if you have concerns with how the facility handles the investigation after you report it, consider initiating abuse.</p>	<p><i>Remember, when the surveyor receives a negative response he or she should probe for additional information that will be helpful if a Stage 2 investigation is needed. The surveyor will want to obtain enough pertinent information to begin an investigation in Stage 2, should one be required.</i></p>

H. Interaction with Others QP246	
<p>1) Have there been any concerns or problems with a roommate or any other resident?</p> <p><input type="checkbox"/> No (skip to I)</p> <p><input type="checkbox"/> Yes</p> <p>2) Has the staff addressed the concern(s) to your satisfaction?</p> <p><input type="checkbox"/> No</p> <p><input type="checkbox"/> Yes</p>	<p><i>Remember, when the surveyor receives a negative response he or she should probe for additional information that will be helpful if a Stage 2 investigation is needed. The surveyor will want to obtain enough pertinent information to begin an investigation in Stage 2, should one be required.</i></p>
I. Personal Property QP194	
<p>1) Were you encouraged by staff to bring in any personal items? If No, Do you wish to have items brought in?</p> <p><input type="checkbox"/> No</p> <p><input type="checkbox"/> Yes</p> <p><input type="checkbox"/> N/A, the resident is a short-stay resident</p> <p>2) Have you had any missing personal items? If Yes, what is still missing and how long has it been missing?</p> <p><input type="checkbox"/> No</p> <p><input type="checkbox"/> Yes</p> <p>3) Did you tell staff about the missing item(s)? If Yes, Who did you tell about the missing item? If</p> <p><input type="checkbox"/> No (skip to J)</p> <p><input type="checkbox"/> Yes</p> <p>4) Has staff told you they are looking for your missing item(s)? If No, do you know who or which department is supposed to be looking for your missing item?</p> <p><input type="checkbox"/> No</p> <p><input type="checkbox"/> Yes</p>	<p><i>The intent of question 1 is to determine if the facility allows the resident to bring in personal items. In the event that the resident says “No” yet the surveyor observes personal items in the resident’s room, the surveyor should probe to ensure the resident understands the intent of the question. Suggested probes includes:</i></p> <ul style="list-style-type: none"> <i>• I see you have some personal things here in your room, were there other things that you wanted to bring in that the facility staff discouraged you from bringing in?</i> <i>• It looks like there are personal items in your room yet you said that you weren’t encouraged to bring in personal items, what I am trying to determine is if you are allowed to bring in the personal items that you wish to have here in the facility. Are you allowed to bring in the things that you wish to have here?</i> <p><i>Remember, when the surveyor receives a negative response he or she should probe for additional information that will be helpful if a Stage 2 investigation is needed. The surveyor will want to obtain enough pertinent information to begin an investigation in Stage 2, should one be required.</i></p>

J. Pain QP255	
<p>1) Do you have any discomfort now or have you been having discomfort such as pain, heaviness, burning, or hurting with no relief?</p> <p><input type="checkbox"/> No <input type="checkbox"/> Yes</p>	<p><i>The intent of this question is to determine if the resident has pain for which the facility has not attempted to relieve with interventions including medication or non-pharmacological measures. The key words are “with no relief”.</i></p> <p><i>As always, it is appropriate to break up questions into segments if the resident is better able to understand the question.</i></p>
K. Food Quality QP249	
<p>1) Does the food taste good and look appetizing?</p> <p><input type="checkbox"/> No <input type="checkbox"/> Yes</p> <p>2) Is the food served at the proper temperature?</p> <p><input type="checkbox"/> No <input type="checkbox"/> Yes</p>	<p><i>If the resident has concerns related to food quality probe for additional information by asking questions such as:</i></p> <ul style="list-style-type: none"> • <i>Is there a particular food item or meal that is not appetizing or doesn't taste good to you?</i> • <i>Is the food served too hot or too cold?</i> • <i>Is there a certain meal such as breakfast, lunch or supper or snack that is consistently served to you that is of poor quality or not at the proper temperature?</i> • <i>Where are your meals served? Do you eat your meals in the dining room, in your room, or in another location?</i>
L. Hydration QP258	
<p>1) Do you receive the fluids you want between meals?</p> <p><input type="checkbox"/> No <input type="checkbox"/> Yes <input type="checkbox"/> N/A, does not take fluids orally</p>	<p><i>The intent of this question is not only to determine if the resident receives fresh water. The surveyor should also determine if the resident receives the fluids they want between meals which may include water, coffee, juice, soda, etc.</i></p>
M. Sufficient Staff QP232	
<p>1) Do you feel there is enough staff available to make sure you get the care and assistance you need without having to wait a long time?</p> <p><input type="checkbox"/> No <input type="checkbox"/> Yes</p>	<p><i>If the resident has a negative response to this question, surveyors should probe for as many specific concerns as possible to aid in the Stage 2 investigations. Should they be required. Consider asking questions such as:</i></p> <ul style="list-style-type: none"> • <i>When was the last time you had to wait for assistance?</i> • <i>Does this routinely happen at a specific time of the day?</i>

N. Oral Health	QP204
<p>1) Do you have mouth/facial pain with no relief? <input type="checkbox"/> No <input type="checkbox"/> Yes</p> <p>2) Do you have any chewing or eating problems (could be due to: no teeth, missing teeth, oral lesions, broken or loose teeth)? <input type="checkbox"/> No <input type="checkbox"/> Yes</p> <p>3) Do you have tooth problems, gum problems mouth sores, or denture problems? <input type="checkbox"/> No <input type="checkbox"/> Yes</p> <p>4) Does staff help you as necessary to clean your teeth? <input type="checkbox"/> No <input type="checkbox"/> Yes <input type="checkbox"/> N/A, do not need assistance (skip to O)</p> <p>5) How often are your teeth/dentures/mouth cleaned (routine oral hygiene)? <input type="checkbox"/> Daily <input type="checkbox"/> Weekly <input type="checkbox"/> Monthly <input type="checkbox"/> Never</p>	<p><i>The focus of question #1 is dental pain.</i></p> <p><i>The focus of question #2 is chewing or eating problems related to dental issues. Swallowing problems should not be addressed here.</i></p> <p><i>The focus of question #3 is identifying concerns with teeth, gums, dentures or any sores which may be located in the resident's oral cavity.</i></p> <p><i>When asking question #4, If the resident does not require assistance from staff to perform any oral health activities, the surveyor should check "N/A" and skip to Section O.</i></p> <p><i>A response of "weekly", "monthly" or "never" are considered negative responses to question #5 and the surveyor should probe for any additional information to begin an investigation in Stage 2, should one be required.</i></p>
O. Privacy	QP204
<p>1) Does staff provide you privacy when they work with you, changing your clothes, providing treatment? <input type="checkbox"/> No <input type="checkbox"/> Yes</p>	<p><i>Remember, when the surveyor receives a negative response he or she should probe for additional information that will be helpful if a Stage 2 investigation is needed. The surveyor will want to obtain enough pertinent information to begin an investigation in Stage 2, should one be required.</i></p>

P. Exercise of Rights	QP250
<p>1) Have you been moved to a different room or had a roommate change in the last nine months?</p> <p><input type="checkbox"/> No (skip to Q)</p> <p><input type="checkbox"/> Yes</p> <p>2) Were you given notice before a room change or a change in roommate?</p> <p><input type="checkbox"/> No</p> <p><input type="checkbox"/> Yes</p>	<p><i>Remember, when the surveyor receives a negative response he or she should probe for additional information that will be helpful if a Stage 2 investigation is needed. The surveyor will want to obtain enough pertinent information to begin an investigation in Stage 2, should one be required.</i></p>
Q. Personal Funds	QP199
<p>1) Do you have a personal funds account with the facility?</p> <p><input type="checkbox"/> No (skip 2 & 3)</p> <p><input type="checkbox"/> Yes</p> <p><input type="checkbox"/> Do Not Know (skip 2 & 3)</p> <p>2) Does the facility let you know how much money you have in your account?</p> <p><input type="checkbox"/> No</p> <p><input type="checkbox"/> Yes</p> <p><input type="checkbox"/> Do Not Know</p> <p>3) Can you get your money when you need it, including on weekends?</p> <p><input type="checkbox"/> No</p> <p><input type="checkbox"/> Yes</p> <p><input type="checkbox"/> Do Not Know</p>	<p><i>The surveyor may need to ask probing questions to help determine if the resident understands the difference between a commercial bank account and the facility's resident funds account.</i></p> <p><i>Remember, when the surveyor receives a negative response he or she should probe for additional information that will be helpful if a Stage 2 investigation is needed. The surveyor will want to obtain enough pertinent information to begin an investigation in Stage 2, should one be required.</i></p>